

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
1	E. Zipprich Dec.
2	E. Green Dep.
3	Alpine Dep.
4	T. Groskreutz On the Record
5	Loew Expert Decl.
6	Santangelo, Betty & Davis, Harry, <i>Broker Dealer Regulation</i>
7	Updated Small Firm Template (Jan. 1, 2010)
8	SCA Fully Disclosed Clearing Agreement, Feb. 26 2009
9	Irving M. Einhorn, Opinion Letter
10	Angotti Dep.
11	NASD Notice 02-21
12	Alpine WSP April 11, 2013
13	Alpine WSP August 29, 2014
14	Alpine WSP October 1, 2015
15	R. Jones Dep.
16	L. Farmer Dep.
17	Navigant Rebuttal Report
18	Intentionally Omitted.
19	Intentionally Omitted.
20	FINRA's Report of Examination, dated September 28, 2012
21	Alpine's Response to FINRA's Report of Examination, dated October 24, 2012
22	SAR, [REDACTED]
23	SAR, [REDACTED]
24	SAR, [REDACTED]
25	SAR, [REDACTED]
26	SAR, [REDACTED]
27	SAR, [REDACTED]
28	SAR, [REDACTED]
29	SAR, [REDACTED]
30	SAR, [REDACTED]
31	SAR, [REDACTED]
32	SAR, [REDACTED]
33	SAR, [REDACTED]
34	SAR, [REDACTED]
35	SAR, [REDACTED]
36	SAR, [REDACTED]

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
37	SAR, [REDACTED]
38	SAR, [REDACTED]
39	SAR, [REDACTED]
40	SAR, [REDACTED]
41	SAR, [REDACTED]
42	SAR, [REDACTED]
43	SAR, [REDACTED]
44	SAR, [REDACTED]
45	SAR, [REDACTED]
46	SAR, [REDACTED]
47	SAR, [REDACTED]
48	SAR, [REDACTED]
49	SAR, [REDACTED]
50	SAR, [REDACTED]
51	SAR, [REDACTED]
52	SAR, [REDACTED]
53	SAR, [REDACTED]
54	SAR, [REDACTED]
55	Exhibit A with Chart, Subcategory Quarterly
56	SAR, [REDACTED]
57	SAR, [REDACTED]
58	SAR, [REDACTED]
59	SAR, [REDACTED]
60	SAR, [REDACTED]
61	SAR, [REDACTED]
62	SAR, [REDACTED]
63	SAR, [REDACTED]
64	SEC's Expert's Table A-1
65	OCIE's Examination Report, dated April 9, 2015
66	Alpine's Response to OCIE's Examination Report, dated May 20, 2015
67	R. Jones Supp. Decl.
68	Example of a Checklist
69	NASD Notice 02-47
70	FinCEN Guidance (FIN-2006-G013), October 4, 2006
71	FinCEN Form 111, SAR BD Form
72	Beverly E. Loew Decl.

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EXHIBIT #	DESCRIPTION
73	Intentionally Omitted.
74	SAR, No. 127
75	SAR, No. 745
76	SAR, No. 171
77	SAR, No. 175
78	SAR, No. 20
79	SAR, No. 665
80	SAR, No. 1834
81	SAR, No. 1823
82	Loew Dep
83	SAR Violation No. 1847
84	SAR Violation No. 297
85	SAR Violation No. 294
86	SAR Violation No. 255
87	Violation Nos 280
88	Violation Nos 453
89	Violation Nos 500
90	Violation Nos 588
91	Violation Nos 629
92	Violation Nos 1605
93	Violation Nos 1606
94	Violation Nos 1610
95	Violation Nos 1618
96	Violation Nos 1622
97	Violation Nos 1630
98	Violation Nos 1633
99	Violation Nos 1639
100	Violation Nos 1644
101	Violation Nos 1674
102	Violation Nos 1717
103	Violation Nos 1731
104	Violation Nos 1762
105	Violation Nos 1763
106	Violation Nos 1769
107	Violation Nos 1781
108	Violation Nos 1798

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EXHIBIT #	DESCRIPTION
109	Violation Nos 1799
110	Violation Nos 1805
111	Violation Nos 703
112	Violation No. 703 Support File
113	Violation No. 1861 Support File
114	Violation No. 515
115	Violation No. 515 Support File
116	Violation No. 612
117	Violation No. 612 Support File
118	Violation No. 701
119	Violation No. 701 Support File
120	Violation No. 748
121	Violation No. 748 Support File
122	Violation No. 1970
123	Violation No. 1970 Support File
124	Violation No. 1971
125	Violation No. 1971 Support File
126	Violation No. 859
127	Violation No. 859 Support File
128	Violation No. 904
129	Violation No. 904 Support File
130	Violation No. 1222
131	Violation No. 1222 Support File
132	Order Instituting Administrative Proceedings
133	██████████ Memorandum
134	Legal Opinion, dated July 26, 2011, SEC-FINRA-E-00997052
135	SAR Violation Nos. 744, 1827
136	SEC Press Release
137	██████████ Memorandum
138	Article about █████'s settlement
139	FIN-2006-G014, November 9, 2006
140	Violation Nos. 197 and 329
141	Violation No. 652
142	Violation No. 652 Support File
143	Violation No. 462
144	Violation No. 462 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
145	Violation No. 2001
146	Violation No. 2001 Support File
147	Violation No. 1975
148	Violation No. 1975 Support File
149	Violation No. 467
150	Violation No. 467 Support File
151	Violation No. 1430
152	Violation No. 1430 Support File
153	Violation No. 326
154	Violation No. 326 Support File
155	Violation No. 341
156	Violation No. 341 Support File
157	Violation No. 717
158	Violation No. 717 Support File
159	Violation No. 1797
160	Violation No. 1797 Support File
161	Violation No. 463
162	Violation No. 463 Support File
163	Violation No. 1897 Support File
164	Violation No. 438
165	Violation No. 438 Support File
166	Violation No. 385
167	Violation No. 385 Support File
168	Violation No. 464
169	Violation No. 464 Support File
170	Violation No. 465
171	Violation No. 465 Support File
172	Violation No. 1941
173	Violation No. 190
174	Violation No. 1931
175	Violation No. 2001
176	Violation No. 1947
177	Violation No. 1767
178	Violation No. 511
179	Violation No. 348
180	Violation No. 1781

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
181	Violation No. 1798
182	SEC's Table A-7
183	Violation No. 237
184	Violation No. 660
185	Violation No. 250
186	Violation No. 230
187	Violation No. 25
188	Violation No. 85
189	Violation No. 134
190	Violation No. 179
191	Violation No. 229
192	Violation No. 231
193	Violation No. 240
194	Violation No. 243
195	Violation No. 249
196	Violation No. 493
197	Violation No. 881
198	Violation No. 1905
199	Violation No. 1906
200	Violation No. 1924
201	Violation No. 1932
202	"The SAR Activity Review: Trends, Tips & Issues," Issue No. 15
203	"The SAR Activity Review: Trends, Tips & Issues," Issue No. 1
204	E. Green Supp. Decl.
205	R. Jones Decl.
206	Table showing duplicates between Tables C and D with Table A
207	Violation No. 94
208	Violation No. 19
209	Violation No. 24
210	Violation No. 27
211	Violation No. 33
212	Violation No. 39
213	Violation No. 41
214	Violation No. 43
215	Violation No. 46
216	Violation No. 52

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EXHIBIT #	DESCRIPTION
217	Violation No. 59
218	Violation No. 62
219	Violation No. 69
220	Violation No. 79
221	Violation No. 82
222	Violation No. 91
223	Violation No. 93
224	Violation No. 113
225	Violation No. 114
226	Violation No. 127
227	Violation No. 132
228	Violation No. 134
229	Violation No. 136
230	Violation No. 138
231	Violation No. 141
232	Violation No. 147
233	Violation No. 197
234	Violation No. 202
235	Violation No. 210
236	Violation No. 211
237	Violation No. 15
238	Violation No. 30
239	Violation No. 31
240	Violation No. 32
241	FinCEN Guidance (Fin-2007-G003, June 13, 2007)
242	Table A Duplicates Chart
243	Intentionally Omitted.
244	Intentionally Omitted.
245	SEC's Initial Disclosures
246	Hearing Transcript
247	Rule 56(d) Declaration
248	Table E
249	Wells Notice
250	SAR 119 Support File
251	SAR 147 Support File
252	SAR 160 Support File

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EXHIBIT #	DESCRIPTION
253	SAR 169 Support File
254	SAR 188 Support File
255	SAR 194 Support File
256	SAR 196 Support File
257	SAR 197 Support File
258	SAR 198 Support File
259	SAR 287 Support File
260	SAR 329 Support File
261	SAR 350 Support File
262	SAR 355 Support File
263	SAR 356 Support File
264	SAR 360 Support File
265	SAR 368 Support File
266	SAR 369 Support File
267	SAR 370 Support File
268	SAR 371 Support File
269	SAR 372 Support File
270	SAR 399 Support File
271	SAR 454 Support File
272	SAR 462 Support File
273	SAR 467 Support File
274	SAR 515 Support File
275	SAR 517 Support File
276	SAR 553 Support File
277	SAR 586 Support File
278	SAR 612 Support File
279	SAR 616 Support File
280	SAR 647 Support File
281	SAR 652 Support File
282	SAR 666 Support File
283	SAR 667 Support File
284	SAR 703 Support File
285	SAR 713 Support File
286	SAR 718 Support File
287	SAR 743 Support File
288	SAR 778 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
289	SAR 787 Support File
290	SAR 788 Support File
291	SAR 794 Support File
292	SAR 823 Support File
293	SAR 826 Support File
294	SAR 828 Support File
295	SAR 856 Support File
296	SAR 863 Support File
297	SAR 864 Support File
298	SAR 961 Support File
299	SAR 974 Support File
300	SAR 990 Support File
301	SAR 1031 Support File
302	SAR 1032 Support File
303	SAR 1041 Support File
304	SAR 1047 Support File
305	SAR 1051 Support File
306	SAR 1068 Support File
307	SAR 1093 Support File
308	SAR 1119 Support File
309	SAR 1124 Support File
310	SAR 1126 Support File
311	SAR 1132 Support File
312	SAR 1133 Support File
313	SAR 1134 Support File
314	SAR 1137 Support File
315	SAR 1138 Support File
316	SAR 1140 Support File
317	SAR 1142 Support File
318	SAR 1145 Support File
319	SAR 1150 Support File
320	SAR 1153 Support File
321	SAR 1156 Support File
322	SAR 1170 Support File
323	SAR 1175 Support File
324	SAR 1177 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
325	SAR 1189 Support File
326	SAR 1206 Support File
327	SAR 1207 Support File
328	SAR 1208 Support File
329	SAR 1211 Support File
330	SAR 1214 Support File
331	SAR 1216 Support File
332	SAR 1219 Support File
333	SAR 1220 Support File
334	SAR 1221 Support File
335	SAR 1222 Support File
336	SAR 1225 Support File
337	SAR 1226 Support File
338	SAR 1227 Support File
339	SAR 1228 Support File
340	SAR 1230 Support File
341	SAR 1236 Support File
342	SAR 1241 Support File
343	SAR 1243 Support File
344	SAR 1247 Support File
345	SAR 1248 Support File
346	SAR 1256 Support File
347	SAR 1259 Support File
348	SAR 1260 Support File
349	SAR 1261 Support File
350	SAR 1262 Support File
351	SAR 1264 Support File
352	SAR 1271 Support File
353	SAR 1283 Support File
354	SAR 1285 Support File
355	SAR 1287 Support File
356	SAR 1293 Support File
357	SAR 1295 Support File
358	SAR 1297 Support File
359	SAR 1300 Support File
360	SAR 1309 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
361	SAR 1310 Support File
362	SAR 1313 Support File
363	SAR 1315 Support File
364	SAR 1316 Support File
365	SAR 1324 Support File
366	SAR 1325 Support File
367	SAR 1326 Support File
368	SAR 1327 Support File
369	SAR 1332 Support File
370	SAR 1341 Support File
371	SAR 1346 Support File
372	SAR 1358 Support File
373	SAR 1360 Support File
374	SAR 1364 Support File
375	SAR 1366 Support File
376	SAR 1367 Support File
377	SAR 1376 Support File
378	SAR 1391 Support File
379	SAR 1392 Support File
380	SAR 1394 Support File
381	SAR 1395 Support File
382	SAR 1396 Support File
383	SAR 1397 Support File
384	SAR 1398 Support File
385	SAR 1404 Support File
386	SAR 1407 Support File
387	SAR 1408 Support File
388	SAR 1411 Support File
389	SAR 1419 Support File
390	SAR 1430 Support File
391	SAR 1431 Support File
392	SAR 1432 Support File
393	SAR 1434 Support File
394	SAR 1436 Support File
395	SAR 1440 Support File
396	SAR 1445 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
397	SAR 1446 Support File
398	SAR 1447 Support File
399	SAR 1448 Support File
400	SAR 1451 Support File
401	SAR 1457 Support File
402	SAR 1458 Support File
403	SAR 1459 Support File
404	SAR 1460 Support File
405	SAR 1465 Support File
406	SAR 1468 Support File
407	SAR 1478 Support File
408	SAR 1491 Support File
409	SAR 1492 Support File
410	SAR 1500 Support File
411	SAR 1501 Support File
412	SAR 1502 Support File
413	SAR 1504 Support File
414	SAR 1509 Support File
415	SAR 1518 Support File
416	SAR 1523 Support File
417	SAR 1533 Support File
418	SAR 1534 Support File
419	SAR 1539 Support File
420	SAR 1543 Support File
421	SAR 1545 Support File
422	SAR 1546 Support File
423	SAR 1551 Support File
424	SAR 1555 Support File
425	SAR 1556 Support File
426	SAR 1557 Support File
427	SAR 1564 Support File
428	SAR 1585 Support File
429	SAR 1587 Support File
430	SAR 1616 Support File
431	SAR 1620 Support File
432	SAR 1621 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
433	SAR 1627 Support File
434	SAR 1641 Support File
435	SAR 1648 Support File
436	SAR 1652 Support File
437	SAR 1659 Support File
438	SAR 1663 Support File
439	SAR 1669 Support File
440	SAR 1674 Support File
441	SAR 1675 Support File
442	SAR 1687 Support File
443	SAR 1689 Support File
444	SAR 1693 Support File
445	SAR 1701 Support File
446	SAR 1702 Support File
447	SAR 1709 Support File
448	SAR 1712 Support File
449	SAR 1713 Support File
450	SAR 1718 Support File
451	SAR 1720 Support File
452	SAR 1725 Support File
453	SAR 1726 Support File
454	SAR 1729 Support File
455	SAR 1730 Support File
456	SAR 1733 Support File
457	SAR 1734 Support File
458	SAR 1740 Support File
459	SAR 1743 Support File
460	SAR 1761 Support File
461	SAR 1780 Support File
462	SAR 1781 Support File
463	SAR 1790 Support File
464	SAR 1791 Support File
465	SAR 1794 Support File
466	SAR 1802 Support File
467	SAR 1805 Support File
468	SAR 1822 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
469	SAR 1825 Support File
470	SAR 1830 Support File
471	SAR 1841 Support File
472	SAR 1847 Support File
473	SAR 1861 Support File
474	SAR 1869 Support File
475	SAR 1872 Support File
476	SAR 1885 Support File
477	SAR 1888 Support File
478	SAR 1907 Support File
479	SAR 1908 Support File
480	SAR 1967 Support File
481	SAR 1968 Support File
482	SAR 1969 Support File
483	SAR 1970 Support File
484	SAR 1971 Support File
485	SAR 1975 Support File
486	SAR 1984 Support File
487	SAR 1987 Support File
488	SAR 1992 Support File
489	SAR 2001 Support File
490	SAR 2003 Support File
491	SAR 7 Support File
492	SAR 9 Support File
493	SAR 196 Support File
494	SAR 202 Support File
495	SAR 218 Support File
496	SAR 219 Support File
497	SAR 220 Support File
498	SAR 225 Support File
499	SAR 255 Support File
500	SAR 318 Support File
501	SAR 326 Support File
502	SAR 333 Support File
503	SAR 340 Support File
504	SAR 341 Support File

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EXHIBIT #	DESCRIPTION
505	SAR 343 Support File
506	SAR 349 Support File
507	SAR 355 Support File
508	SAR 360 Support File
509	SAR 368 Support File
510	SAR 369 Support File
511	SAR 370 Support File
512	SAR 371 Support File
513	SAR 372 Support File
514	SAR 394 Support File
515	SAR 430 Support File
516	SAR 457 Support File
517	SAR 480 Support File
518	SAR 498 Support File
519	SAR 566 Support File
520	SAR 583 Support File
521	SAR 592 Support File
522	SAR 664 Support File
523	SAR 717 Support File
524	SAR 748 Support File
525	SAR 810 Support File
526	SAR 1194 Support File
527	SAR 1380 Support File
528	SAR 1409 Support File
529	SAR 1423 Support File
530	SAR 1437 Support File
531	SAR 1442 Support File
532	SAR 1624 Support File
533	SAR 1757 Support File
534	SAR 1788 Support File
535	SAR 1793 Support File
536	SAR 1805 Support File
537	SAR 1915 Support File
538	SAR 1941 Support File
539	SAR 1943 Support File
540	SAR 1948 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
541	SAR 1952 Support File
542	SAR 1953 Support File
543	SAR 1956 Support File
544	SAR 1988 Support File
545	SAR 2005 Support File
546	SAR 80 Support File
547	SAR 109 Support File
548	SAR 366 Support File
549	SAR 385 Support File
550	SAR 438 Support File
551	SAR 463 Support File
552	SAR 464 Support File
553	SAR 465 Support File
554	SAR 492 Support File
555	SAR 565 Support File
556	SAR 574 Support File
557	SAR 584 Support File
558	SAR 587 Support File
559	SAR 589 Support File
560	SAR 658 Support File
561	SAR 693 Support File
562	SAR 716 Support File
563	SAR 779 Support File
564	SAR 805 Support File
565	SAR 839 Support File
566	SAR 1607 Support File
567	SAR 1722 Support File
568	SAR 1735 Support File
569	SAR 1797 Support File
570	SAR 1828 Support File
571	SAR 1836 Support File
572	SAR 1840 Support File
573	SAR 1842 Support File
574	SAR 1856 Support File
575	SAR 1858 Support File
576	SAR 1861 Support File

EXHIBIT LIST

EXHIBIT #	DESCRIPTION
577	SAR 1865 Support File
578	SAR 1867 Support File
579	SAR 1872 Support File
580	SAR 1874 Support File
581	SAR 1894 Support File
582	SAR 1897 Support File
583	SAR 1898 Support File
584	SAR 1899 Support File
585	SAR 1901 Support File
586	SAR 1903 Support File
587	SAR 1904 Support File